

# TITLE COMPANIES

COMPANY NAME: \_\_\_\_\_ NAIC Company Code: \_\_\_\_\_  
 Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_  
 REQUIRED FILINGS IN THE STATE OF: District of Columbia Filings Made During the Year 2003

(1) Check- List	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES (Please read all Notes)
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2" x 14")	2	1	xxx	3/1	NAIC	Postmark date accepted Note N, Q
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	1	xxx	3/1	NAIC	Note M
	2	Quarterly Financial Statement (8 1/2" x 14")	1	0	xxx	5/15, 8/15, 11/15	NAIC	Postmark date accepted Note Q, Note N
		<b>II. NAIC SUPPLEMENTS</b>						Note L
	11	Investment Risk Interrogatories	2	1	xxx	4/1	NAIC	Note N
	12	Management Discussion & Analysis	2	1	xxx	4/1	Company	Note N
	13	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	14	Statement of Actuarial Opinion	2	1	xxx	3/1	Company	Note N
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	2	1	xxx	4/1	NAIC	
	17	SVO Compliance Certification	1	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	Note N
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	Note O
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	Note O
	34	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	Note O
	35	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	Note O
	33	June .PDF Filing	xxx	1	xxx	6/1	NAIC	Note O
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>						
	51	Accountants Letter of Qualifications	2	N/A	N/A	As required	Company	
	52	Audited Financial Statements	2	1	0	6/1	Company	Note R
	53	Audited Financial Statements Exemption Affidavit	2	N/A	N/A	As required	Company	
	54	Independent CPA appointment or change notice	2	N/A	N/A	As required	Company	
	55	Notification of Adverse Financial Condition	2	N/A	N/A	As required	Company	
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A	As required	Company	
	57	Request for Exemption to File	2	N/A	N/A	As required	Company	
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Filings Checklist (with Column 1 completed)	1	1	0	Various dates	State	
	102	Premium tax	1	0	1	3/1	State	Note D
	103	State License Filing Fees	1	0	1	4/30	State	Note C

\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		<b>NOTES AND INSTRUCTIONS (A-K&amp;P APPLY TO ALL FILINGS)</b>	
	A	Required Filings Contact Person (except licensing and premium tax contacts):	Janice Gordon, Chief Financial Analyst <a href="mailto:janice.gordon@dc.gov">janice.gordon@dc.gov</a> (email) (202) 442-7784 (telephone) Also, see Notes C and D below for license and premium tax contacts
	B	Mailing Address:	DC Department of Insurance and Securities Regulation Financial Examination Division 810 First Street, NE Suite 602 Washington, DC. 20002
	C	Mailing Address and Contact Person for Filing Fees (License):	License Renewal for Title - \$200.00 DC Department of Insurance and Securities Regulation Consumer and Professional Services Division 810 First Street, NE Suite 602 Washington, DC. 20002 Check should be made payable to DC Treasurer Contact Person: Denise Parker <a href="mailto:denise.parker@dc.gov">denise.parker@dc.gov</a> (email) (202) 442-7815 (telephone)
	D	Mailing Address and Contact Person for Premium Tax Payments:	DC Department of Insurance and Securities Regulation Insurance Bureau P.O. Box 92180 Washington, DC 20090-2180 Check should be made payable to DC Treasurer Contact Person: Alvin James <a href="mailto:alvin.james@dc.gov">alvin.james@dc.gov</a> (email) (202) 442-7772 (telephone)
	E	Delivery Instructions:	All annual financial statement filings must be postmarked no later than March 1 <sup>st</sup> . Other financial filings must be postmarked no later than the indicated due date. License applications and filing fees must be physically received at the address in Note C no later than April 30 <sup>th</sup> . Premium tax returns and payments must be postmarked no later than March 1 <sup>st</sup> .
	F	Late Filings:	Company will be fined \$100 per day for a late filing. Other actions including license suspension may be taken.
	G	Original Signatures:	Original signatures required on all filings from domestic companies. Foreign companies should follow the instructions in the NAIC Annual Statement Instructions.
	H	Signature/Notarization/Certification:	The President and Secretary are required to sign the annual statement, or in their absence, 2 other principal officers may sign.

I	Amended Filings:	Amended items must be filed within 10 days of an amendment, along with an explanation of the amendments. If there are signature requirements for the original filings, same should be followed for any amendment. Amendments to the Annual or Quarterly Statements require an amended jurat page, including amendment number, amendment filing date and the number of pages refiled.
J	Exceptions from normal filings:	Foreign companies must supply a written copy of any exemption or extension received by its state of domicile at least 10 days prior to the filing date. Domestic companies should apply at least 30 days prior to the due date and, for extensions, must submit a written request explaining the reason for the delay and a detailed timeline of any expected component completion dates and contingencies.
K	Bar Codes (State or NAIC)	Please follow the instructions in the NAIC Annual Statement Instructions.
L	NONE Filings:	District of Columbia does not require the filing of a "NONE" page if the applicable supplemental interrogatory indicates that the filing is non-applicable.
M	Items 1.1 through 1.7	Domestic Companies are not required to submit an additional copy of the detailed investment schedules if they are already bound in the Annual Statement. The DC DISR follows the Annual Statement Instructions related to investment schedule detail and certain supplements. As such, certain items that are captured on the NAIC database are not required to be submitted in hard copy format from foreign insurers. If this information is filed with the domiciliary state and the NAIC, it is not necessary to file with this state.
N	Filings discontinued or modified materially since last year:	<ol style="list-style-type: none"> <li>1) Foreign companies are no longer required to file annual or quarterly statements with the District of Columbia.</li> <li>2) Foreign companies are no longer required to file NAIC supplements with the District of Columbia.</li> <li>3) Foreign companies are no longer required to file a certificate of compliance, a certificate of deposit, or a certificate of valuation with the District of Columbia.</li> </ol>

	O	Electronic Filing Requirements	See General Instructions for Companies to Use Checklist which follows for specific guidance on electronic filing requirements including the requirements to file certain items in the portable document format (PDF files). Any questions regarding electronic filing should be directed to the NAIC. The NAIC web site is at <a href="http://www.naic.org">http://www.naic.org</a> . The main phone line is (816) 842-3600. The NAIC help desk line is 816-783-8500.
	P	Standard Reporting Requirements	To order NAIC publications, including the Annual Statement Blanks and Instructions and the Accounting Practices and Procedures Manual, call publications at 816-783-8300. Publications catalogue also available on line at <a href="http://www.naic.org">http://www.naic.org</a> .
	Q	Foreign Company filings	Foreign Companies to file hard copy of statements only upon written request.
	R	Audited Statement	Audited statements must be prepared on a statutory basis. Auditor must be independent CPA.

**General Instructions  
For Companies to Use Checklist**

**Please Note:** This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

**Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.**

**Column (1) (Checklist)**

Companies may use the checklist to submit to a state, if the state requests it. (The District of Columbia does request that the checklist be submitted with the filings.) Companies should copy the checklist and place an "x" in this column when mailing information to the state.

**Column (2) (Line #)**

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

**Column (3) (Required Filings)**

Name of item or form to be filed.

The ***March Electronic Filing*** includes all annual statement data, detail for investment schedules, Officers and Directors Information and all supplements due March 1.

The ***March .PDF Filing*** is the .pdf file for the annual statement data, detail for investment schedules and all supplements due March 1.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplemental .PDF Filing*** is the .pdf file for all supplements due April 1.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

**Column (4) (Number of Copies)**

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

**Column (5) (Due Date)**

Indicates the date on which the company must file the form.

**Column (6) (Form Source)**

This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions. If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

**Column (7) (Applicable Notes)**

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.